

**Enterprise Privacy & Protection Officer**  
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**December 2011**

Item 5a – Attachment 1  
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**Board Assignment Status**

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Assignment Date	Request / Subject	Due Date	Status / Completed Date

**Other Items of Interest**

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Item of Interest	Status / Completed Date
1. Planning	<p>EPPO and ITSB created a joint project to review the state of information security at CalPERS and to create a roadmap to close known security risks.</p> <p>The team chose a best practice NIST Security framework to use as the model for CalPERS Information Security. The framework was used to compare our current state to our desired state. There were 26 areas targeted for improvement.</p> <p>The Security Roadmap was presented to the Executive Risk Steering Committee on 11/29/2011 for their review.</p>
2. Policy	<p>Published since June:</p> <ul style="list-style-type: none"><li>• Non-Disclosure Practice (modified)</li><li>• Encryption of Electronic Communications (modified)</li><li>• Elevated Access to Workstations (modified)</li></ul>

Item of Interest	Status / Completed Date
3. Information Systems (IS) Risk Management	<ul style="list-style-type: none"> <li>• A risk assessment of the agency's e-discovery and electronic information management capability is complete and a draft report is being circulated internally prior to distribution outside of EPPO.</li> <li>• A security controls assessment of Apple iPad technology was completed and presented to the Enterprise Risk Committee.</li> <li>• A Security risk assessment of the Legal Office was completed in November.</li> <li>• A Security risk assessment of the Diversity Office is complete, and the report is under review by management.</li> <li>• Application vulnerability assessments of PSR software deliverables are being carried out on an ongoing basis.</li> </ul>
4. Compliance	<ul style="list-style-type: none"> <li>• Guardium – The PSR project implemented four Guardium appliances in the beginning of September 2011. These four Guardium appliances monitor the production, prod-like, conversion, and staging databases. To date, they have helped us out tremendously in our compliance efforts and have been running smoothly since implementation.</li> <li>• Symantec – The project to implement the Control Compliance Suite (CCS) which provides a centralized means of managing and monitoring the compliance of individual network components with established configurations in a test environment is completed. <u>Update</u> the decision to move this software into production is being reviewed, pending completion of the Security Roadmap to determine whether this initiative is in alignment with priorities set forth within.</li> <li>• Symantec – The project to implement the Enterprise Vault (EVault) which enables CalPERS ability to respond in a timely manner to legal e-discovery actions in a test environment is completed. <u>Update</u> the decision to move this software into production is being reviewed, pending completion of the Security Roadmap to determine whether this initiative is in alignment with priorities set forth within.</li> <li>• Archer – EPPO obtained ITSB approval to subscribe to the Archer Policy Services. RSA Archer Policy Management provides the foundation for a best-in-class governance, risk and compliance program with a comprehensive and consistent process for managing the lifecycle of corporate policies and their exceptions. The solution offers a centralized infrastructure for creating policies, standards and control procedures and mapping them to corporate objectives, regulations, industry guidelines and best practices. It allows you to communicate policies across your enterprise, track acceptance, assess comprehension and manage exceptions.</li> </ul>

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	<ul style="list-style-type: none"><li>• Immediate Action Taken – During the last two quarters, EPPO and ITSB reviewed and took appropriate action on Cyber 31 Security Advisories issued by the California Office of Information Security.</li></ul>
5. Awareness	<ul style="list-style-type: none"><li>• A draft version of the revised Information Security Handbook has been crafted and is currently being reviewed and edited before submission to the Office of Public Affairs (PAOF) for electronic file publication.</li><li>• An Awareness email titled, “Think before you click” was distributed to alert employees to phishing scheme circulating within CalPERS.</li></ul>
6. Incidents	See Attachment 1A – Internal See Attachment 1B – External